



PATENT  
Attorney Docket No. 04208.0235-00000

*ETW*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Tadao ISHIBASHI et al. ) Group Art Unit: 2873  
)  
Application No.: 10/574,513 ) Examiner: Not Yet Assigned  
)  
Filed: November 21, 2006 )  
) Confirmation No.: 6977  
For: SEMICONDUCTOR )  
OPTOELECTRONIC WAVEGUIDE )

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**SECOND REQUEST FOR CORRECTED FILING RECEIPT**

We are forwarding herewith a copy of a Filing Receipt for the above-identified patent application. As indicated in red ink on the attached copy, the Power of Attorney is omitted.


On November 21, 2006, we filed the "Listing Under 37 C.F.R. § 1.32(c)(3) of Ten or Fewer Attorneys to be Recognized by the PTO as Being of Record." A copy of the listing and a copy of the receipt card dated November 21, 2006, showing receipt of the listing are enclosed. Please correct the Power of Attorney and the filing date on the filing receipt to conform the Power of Attorney to the information on the attached Listing of Ten or Fewer Attorneys.

It is respectfully requested that a corrected Filing Receipt be issued as soon as possible.

Respectfully submitted,

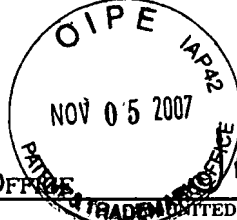
FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: November 5, 2007

By:   
Ernest F. Chapman  
Reg. No. 25,961



UNITED STATES PATENT AND TRADEMARK OFFICE



ML-2PP-JDP  
 UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
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 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/574,513	11/21/2006	2874	1780	04208.0235	35	3

CONFIRMATION NO. 6977

Finnegan Henderson Farabow Garrett and Dunner  
 1300 I Street N W  
 Washington, DC 20005

CORRECTED FILING RECEIPT



\*OC000000026112911\*

Date Mailed: 10/02/2007

Receipt is acknowledged of this nonprovisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

**Applicant(s)**

Tadao Ishibashi, Tokyo, JAPAN;  
 Seigo Ando, Tokyo, JAPAN;  
 Ken Tsuzuki, Tokyo, JAPAN;

RECEIVED

OCT 04 2007

**Power of Attorney:** ~~None~~ The patent practitioners associated with Customer Number 22852.

FINNEGAN, HENDERSON, FARABOW,  
 GARRETT AND DUNNER, LLP

**Domestic Priority data as claimed by applicant**

This application is a 371 of PCT/JP04/14600 10/04/2004

**Foreign Applications**

JAPAN 2003-346285 10/03/2003  
 JAPAN 2003-346287 10/03/2003

**If Required, Foreign Filing License Granted:** 04/07/2007

**The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is** **US10/574,513**

**Projected Publication Date:** Not Applicable

**Non-Publication Request:** No

DK 27  
 10-4-07

**Early Publication Request:** No

**Title**

Semiconductor optoelectronic waveguide

**Preliminary Class**

385

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### **LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15**

#### **GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted

under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

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#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Examiner: Not Assigned**

**Sir:**

LISTING UNDER 37 C.F.R. § 1.32(c)(3) OF TEN OR FEWER ATTORNEYS TO BE  
RECOGNIZED BY THE PTO AS BEING OF RECORD

Pursuant to 37 C.F.R § 1.32(c)(3) the practitioners named below are selected from the list in the accompanying declaration to have power of attorney in the application.

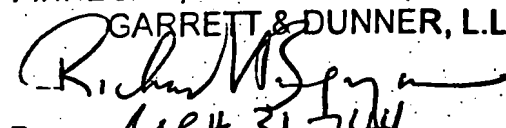
Name	Registration No.
John M. Romary	26,331
Arthur S. Garrett	20,338
Richard V. Burgujian	31,744
David W. Hill	28,220
Charles E. Van Horn	40,266

If there is any fee due in connection with the filing of this statement, please  
charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: November 21, 2006

By:   
Arthur S. Garrett  
Reg. No. 20,338



JMR/SLA/JDP/USD

**PLEASE STAMP TO ACKNOWLEDGE RECEIPT OF THE FOLLOWING:**

National Stage of International Application of PCT/JP2004/014600

Inventors: Tadao ISHIBASHI *et al.*

Application No.: 10/574,513

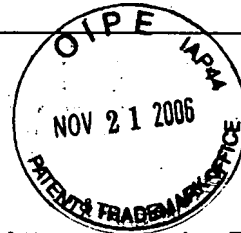
Group Art Unit: Not Assigned

Filed: April 3, 2006

For: SEMICONDUCTOR OPTOELECTRONIC WAVEGUIDE

**MAIL STOP PCT**

1. Check for \$130.00
2. Response To Notification of Missing Requirements
3. Copy of Notification of Missing Requirements
4. Declaration and Power of Attorney
5. Listing Under 37 C.F.R. § 1.32(c)(3) of Ten or Fewer Attorneys to be Recognized by the PTO as being of Record



Dated November 21, 2006

Docket No.: 04208.0235

(Due Date: November 29, 2006)

DWH/FPD/sem - Mail Drop 610A

OK'd. JCC 11/22/06

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